



STRICTLY PRIVATE AND CONFIDENTIAL

Personal Disclosure Form

To be completed by all candidates

Legal entity and position applied for	<input type="checkbox"/> UBS Business Solutions (India) Pvt Ltd. <input type="checkbox"/> UBS Securities (India) Pvt. Ltd Position: _____	Date available/ Notice period	
How did you hear about this position?	<input type="checkbox"/> Job portal <input type="checkbox"/> Newspaper advertisement <input type="checkbox"/> Campus <input type="checkbox"/> Unsolicited <input type="checkbox"/> UBS staff referral (more information will be required in section Part 1) <input type="checkbox"/> Recruiting firm _____		

Part 1 Personal Information (Please circle YES/NO and provide details where appropriate)					
Title (Mr, Ms, etc)		Last name* (Surname)		First and middle names*	
Preferred name		ID/ Passport no		Nationality ¹	
Do you hold citizenship with any other country/countries?	YES	NO	If YES: state which country/countries: _____		
Do you need a work permit to work in India?	YES	NO	If YES: You will be required to provide appropriate documentation. If NO: State why: _____		
To the best of your knowledge, do you hold any relationship to UBS with any company (entity, enterprise or other similar organization) that is a client of, prospect client of, supplier to or provider of services to UBS?	YES	NO	If YES: What is the nature of relationship? Client <input type="checkbox"/> Supplier <input type="checkbox"/> Contractor <input type="checkbox"/> Other <input type="checkbox"/> <i>If you answered YES, you may be contacted separately for additional information.</i>		
Do any of your immediate family members, close friends or your spouse/partner work for UBS?	YES	NO	If YES: Name(s) of family member & relationship to you: _____ Which UBS group legal entity do they work in? _____		
To the best of your knowledge, do you have any family or personal relationships ² with UBS clients, suppliers, prospect clients, or other third parties relevant to UBS business?	YES	NO	If YES: What is the category of relationship? Client <input type="checkbox"/> Supplier <input type="checkbox"/> Other <input type="checkbox"/> <i>If you answered YES, you may be contacted separately for additional information.</i>		



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Are you a Public Official ³ , or do you have any family or personal relationships with any Public Officials?	YES	NO	Yes (I am a Public Official) <input type="checkbox"/> Yes (I have family relationship with Public Official) <input type="checkbox"/> Yes (I have personal relationship with Public Official) <input type="checkbox"/> If YES: What is type of Public Official status? Employee of government owned company <input type="checkbox"/> Employee of government agency/department <input type="checkbox"/> Regulator <input type="checkbox"/> Government official <input type="checkbox"/> Other <input type="checkbox"/> <i>If you answered YES, you may be contacted separately for additional information.</i>
Have you been referred to UBS?	YES	NO	If YES: Who is the referrer? Public Official ⁴ <input type="checkbox"/> Client ⁵ <input type="checkbox"/> Supplier <input type="checkbox"/> UBS Employee <input type="checkbox"/> Other <input type="checkbox"/> Please list UBS Employee and Department Name: _____ <i>If you answered YES, you may be contacted separately for additional information.</i>
Residential Address			
Phone no.	Mobile:	Home:	Office:
			Personal email address

Notes:

* Legal name as per ID / Passport

^[1] Nationality: Please note that, in jurisdictions like the People's Republic of China, India and Indonesia, any national who has been naturalized as a foreign national or has acquired foreign nationality shall automatically lose their nationality status in those jurisdictions. As this is likely to affect your right to work in these jurisdictions, please ensure you fill in your actual and complete nationality and identification details.

^[2] A family relationship is a relationship between family members, and includes, without limitation, a relationship with a spouse, domestic partner or civil partner (or similar as recognized by law), parent (or parent in-law), step-parent, sibling (or sibling in-law), step-sibling, child, step-child, grandparent, uncle, aunt, nephew, or niece. A personal relationship is a relationship that is primarily personal in nature and not primarily professional or business-related, and included, without limitation, a romantic relationship, close friendship, or other close, primarily non-professional relationship.

^[3] UBS construes the term "Public Official" broadly. The term can refer to any elected or appointed official, officer or employee at any level of, or other person acting in an official capacity for any Local, regional, or national government; any Supranational Body that has the authority to make and the power to enforce laws including the EU, Agency, department or instrumentality of a government; Entity owned or controlled by any of the foregoing, this includes central banks, sovereign wealth funds, and any business venture that is owned or controlled by a government entity; Political party; Public International Organization (e.g. the United Nations or World Bank); Judicial official; Candidates for public office, political party officials and members of a royal family. Individuals who are appointed officials, officers or employees at any level of, or other person acting (in each case) in an official capacity for any body which exercises any regulatory oversight or investigative or disciplinary authority over UBS. If you have any questions, please contact your UBS HR representative for further discussion.

^[4] See Definition above.

^[5] Should a "Client" or other referral source send a CV to a UBS employee who then submits the CV to the HR/Recruitment, both categories should be indicated and not just the UBS employee.

Prior to returning this form to UBS, you must have informed any family member or close associate you name in this form in response to the questions above and you must have obtained their express consent to the submission of their data to UBS and the processing of their data in accordance with this form.

Part 2 Current or Last Employment						
Company name (in full)			Start date	dd / mm / yy	End date	dd / mm / yy
Current / last Job title/ role		Employment type	Full time <input type="checkbox"/> Part time <input type="checkbox"/>			
			Permanent <input type="checkbox"/> Self-Employed <input type="checkbox"/> Contract/Temporary <input type="checkbox"/> If hired through an agency, please provide agency name: _____			
Monthly basic salary	INR _____ x _____ months		Reason for leaving			
Allowance (e.g. overtime, housing, etc.)	1. Type _____; INR _____ per month 2. Type _____; INR _____ per month 3. Type _____; INR _____ per month		Last bonus	Year _____ Total Amount INR _____ Please describe stock component (share/options), if any. _____		
Part 3 Other Information						
You MUST complete every question by circling YES / NO and providing details where appropriate.						
1	Have you been interviewed by UBS in the last 12 months? If YES, please provide name of interviewer and department: _____				YES	NO
2	Have you previously held a position with UBS or its affiliates? If YES, please provide details including the name of your previous Line Manager: _____				YES	NO
3	Have you committed any act or ever been convicted in any country of a crime, or are you currently the subject of any investigation which may lead to a conviction?				YES	NO
4	Have you been indirectly involved in transactions which led to or resulted in, or are there any charges, disciplinary actions, legal actions, suit or proceedings pending against you (including a company of which you are or were a director or involved in the management)?				YES	NO
5	Have you ever been declared a bankrupt, served with a bankruptcy petition, suspended payment of your debts or compounded your debts with your creditors?				YES	NO
6	Have you ever been or are you currently under any internal investigation at your previous and/or current employer?				YES	NO

7	Have you (including a company of which you are or were a director or involved in the management) ever been reprimanded, censured, disqualified or otherwise disciplined by a regulatory or professional body in any country?	YES	NO
8	Have you ever been or are you currently (including a company of which you are or were a director or involved in the management) being investigated by a regulatory or professional body in any country?	YES	NO
9	Have you ever been reprimanded/dismissed/suspended/requested to resign from or otherwise disciplined by any of your current/previous employers?	YES	NO
10	Are you bound or restricted (by the terms of your previous employment agreement or in any other way) from seeking employment with or working for UBS or any other bank, firm, company or person? Note: If you answer YES to this question, you may be required to provide copies of the documents containing such restrictive terms (e.g. previous employment contract).	YES	NO
11	Are you restricted (by the terms of your employment agreement or in any other way) as to how you may be allowed to conduct your activities in any future employment (including employment with UBS)? (e.g. if you are not allowed to deal with customers whom you may have dealt with previously from your previous employment). Note: If you answer YES to this question, you may be required to provide copies of the documents containing such restrictive terms (e.g. previous employment contract).	YES	NO
12	Do you hold a Directorship or other Position with a publicly owned, asset manager, accounting, audit and/or listed company?	YES	NO
13	Are you currently engaged in any other business either as a proprietor, partner, officer, director, trustee, agent or otherwise?	YES	NO
14	Do you chair an Audit Committee or Compensation Committee with any company?	YES	NO
15	Do you have any external position involving the provision of legal, compliance or audit advice?	YES	NO
16	Do you have any external directorships involving political or economic positions (i.e. board member, political function etc.)?	YES	NO
17	Have you ever been disqualified by a court from being a director of a corporation or adjudged by a court to be civilly liable for fraud, dishonesty or misfeasance (including a company of which you are or were a director or involved in the management) in any country?	YES	NO
18	Have you ever been a director, shareholder, or involved in the management of a corporation which was wound up other than by a member voluntary wind up, or partner of a firm which was dissolved other than with the consent of all the partners?	YES	NO
19	Have you ever been a party to any civil litigation in the past ten years or are you presently a party to any civil litigation?	YES	NO
20	Are there any judgments or court orders with which you have not complied?	YES	NO



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DECLARATION

I hereby acknowledge that all the information provided herein is to the best of my knowledge true, complete and accurate. I give UBS Group AG, UBS AG and any of their branches, representative offices, subsidiaries and affiliates (together "the Firm") and/or the Firm's third party service providers and/or any of their subsidiaries or affiliates, the right to validate my above information and employment data and/or any such data provided to the Firm.

I fully understand that any false or misleading answers or statements or omissions made by me on this application or discovered to be false or misleading or intentionally omitted subsequent thereto, or in connection with the abovementioned investigation, will be sufficient cause to justify the rejection of my application and immediate withdrawal of any offer of employment or, if I have already become an employee, the termination of my employment. I am aware that if I choose not to provide the aforesaid data / information to the Firm, or its third party service providers, I may be denied employment as a result of my decision.

I voluntarily provide all the information herein to the Firm (which includes its UBS Branch and all its subsidiaries in India), and I agree that all the data / information collected by the Firm relating to me whether in this or any other form or, if I am employed, during the course of my employment, can be used by the Firm for the purpose of assessing my suitability for employment by the Firm, and for the Firm's administration and management of its employees and its businesses and for compliance with applicable procedures, laws and regulations, including provision of compensation and benefits, manpower planning, reference checks, avoidance of existing or potential conflicts of interest, and requirements of regulatory or governmental authorities located inside or outside India. I therefore expressly authorize the Firm to disclose or transfer such data/information to any part of the Firm, its consultants, contractors or agents or any other person located inside or outside India to achieve these purposes. I agree that all the information relating to me can be (but is not obliged to be) retained by the Firm for a period of twenty-four months starting from the date below in the case that I am not selected for employment by the Firm, for the purpose of considering me for other employment opportunities within the Firm, or as otherwise required by law.

I am further aware that I have the right to request access to certain data/information relating to me held by the Firm, as well as the right to request corrections of such data/information, subject to the applicable data protection laws. To exercise these rights, I may contact Human Resources Department at the address of Level 8, Building No.8, Commerzone, Yerwada, Samrat Ashok Path, Pune 411006, Maharashtra, India, and I am aware additionally that the Firm has the right to charge me a reasonable fee for the cost of related administration in connection with any data access request.

Print Name _____

Signature _____

Date (dd/mm/yy) _____